

362-119/03  
P#1  
#3

Electronic Filing System (EFS) Data  
Electronic Patent Application Submission  
USPTO Use Only

EFS ID: 41085

Application ID: 09885865



Title of Invention:

METHODS AND SYSTEMS FOR  
RECONCILING A FORWARD  
CONVERSION SECURITIES  
STRATEGY

First Named Inventor: Shayne Young

Domestic/Foreign Application: Domestic Application

Filing Date: 2001-06-19

Effective Receipt Date: 2003-05-28

Submission Type: Information Disclosure  
Statement

Filing Type:

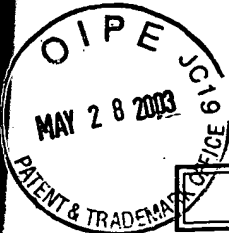
Confirmation number: 4988

Attorney Docket Number: 5226-01700

Total Fees Authorized:

Digital Certificate Holder: cn=Eric B. Meyertons,ou=Registered Attorneys,ou=Patent and Trademark  
Office,ou=Department of Commerce,o=U.S. Government,c=US  
Certificate Message Digest: 5ee6d6201933e44ce24fd49ce0946546a4103cae

RECEIVED  
MAY 30 2003  
GROUP 3600

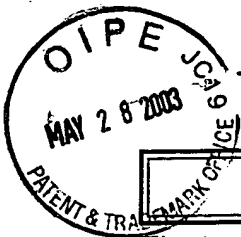


**TRANSMITTAL**

Electronic Version v1.1  
Stylesheet Version v1.1.0

<b>Title of Invention</b>	<b>METHODS AND SYSTEMS FOR RECONCILING A FORWARD CONVERSION SECURITIES STRATEGY</b>						
<p>Application Number:      09/885865 Date:                        2001-06-19 First Named Applicant:   Shayne Young  Confirmation Number:    4988 Attorney Docket Number: 5226-01700</p>							
<p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p>							
<table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 45%; text-align: center;"><b>Submitted by:</b></td><td style="width: 25%; text-align: center;"><b>Elec. Sign.</b></td><td style="width: 30%; text-align: center;"><b>Sign. Capacity</b></td></tr><tr><td>Eric B. Meyertons Registered Number: 34876</td><td>Eric B. Meyertons</td><td>Attorney</td></tr></table>		<b>Submitted by:</b>	<b>Elec. Sign.</b>	<b>Sign. Capacity</b>	Eric B. Meyertons Registered Number: 34876	Eric B. Meyertons	Attorney
<b>Submitted by:</b>	<b>Elec. Sign.</b>	<b>Sign. Capacity</b>					
Eric B. Meyertons Registered Number: 34876	Eric B. Meyertons	Attorney					
<table style="width: 100%;"><tr><td style="width: 50%; vertical-align: top;">Documents being submitted us-ids</td><td style="width: 50%; vertical-align: top;">Files 5226-01700-usidst.xml us-ids.dtd us-ids.xsl</td></tr></table>		Documents being submitted us-ids	Files 5226-01700-usidst.xml us-ids.dtd us-ids.xsl				
Documents being submitted us-ids	Files 5226-01700-usidst.xml us-ids.dtd us-ids.xsl						
<div style="display: flex; justify-content: space-between;"><div>Comments</div><div style="text-align: right;"><b>RECEIVED</b> MAY 30 2003</div></div>							

**GROUP 3600**



## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	METHODS AND SYSTEMS FOR RECONCILING A FORWARD CONVERSION SECURITIES STRATEGY																																																																																																																																
<p>Application Number: 09/885865</p> <p>Confirmation Number: 4988</p> <p>First Named Applicant: Shayne Young</p> <p>Attorney Docket Number: 5226-01700</p> <p>Art Unit: 2161</p> <p>Search string: ( 6477580 or 6421653 or 6446871 or 6247000 or 6272474 or 6173270 or 6321212 or 4566066 or 6505174 or 6195647 or 5101353 or 4942616 or 5915209 or 5999918 or 6112189 ).pn.</p> <p><b>US Patent Documents</b></p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td></td><td>1</td><td>6477580</td><td>2002-11-05</td><td>Bowman-Amuah</td><td></td><td></td><td></td></tr><tr><td></td><td>2</td><td>6421653</td><td>2002-07-16</td><td>May</td><td></td><td></td><td></td></tr><tr><td></td><td>3</td><td>6446871</td><td>2002-09-10</td><td>Buckley et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>4</td><td>6247000</td><td>2001-06-12</td><td>Hawkins et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>5</td><td>6272474</td><td>2001-08-07</td><td>Garcia</td><td></td><td></td><td></td></tr><tr><td></td><td>6</td><td>6173270</td><td>2001-01-09</td><td>Cristofich et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>7</td><td>6321212</td><td>2001-11-20</td><td>Lange</td><td></td><td></td><td></td></tr><tr><td></td><td>8</td><td>4566066</td><td>1986-01-21</td><td>Towers</td><td></td><td></td><td></td></tr><tr><td></td><td>9</td><td>6505174</td><td>2003-01-07</td><td>Keiser et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>10</td><td>6195647</td><td>2001-02-27</td><td>Martyn et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>11</td><td>5101353</td><td>1992-03-31</td><td>Lupien et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>12</td><td>4942616</td><td>1990-07-17</td><td>Linstroth et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>13</td><td>5915209</td><td>1999-06-22</td><td>Lawrence</td><td></td><td></td><td></td></tr><tr><td></td><td>14</td><td>5999918</td><td>1999-12-07</td><td>Williams et al.</td><td></td><td></td><td></td></tr><tr><td></td><td>15</td><td>6112189</td><td>2000-08-29</td><td>Rickard et al.</td><td></td><td></td><td></td></tr></tbody></table> <div><b>RECEIVED</b> MAY 30 2003 <b>GROUP 3600</b></div>		init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass		1	6477580	2002-11-05	Bowman-Amuah					2	6421653	2002-07-16	May					3	6446871	2002-09-10	Buckley et al.					4	6247000	2001-06-12	Hawkins et al.					5	6272474	2001-08-07	Garcia					6	6173270	2001-01-09	Cristofich et al.					7	6321212	2001-11-20	Lange					8	4566066	1986-01-21	Towers					9	6505174	2003-01-07	Keiser et al.					10	6195647	2001-02-27	Martyn et al.					11	5101353	1992-03-31	Lupien et al.					12	4942616	1990-07-17	Linstroth et al.					13	5915209	1999-06-22	Lawrence					14	5999918	1999-12-07	Williams et al.					15	6112189	2000-08-29	Rickard et al.			
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass																																																																																																																										
	1	6477580	2002-11-05	Bowman-Amuah																																																																																																																													
	2	6421653	2002-07-16	May																																																																																																																													
	3	6446871	2002-09-10	Buckley et al.																																																																																																																													
	4	6247000	2001-06-12	Hawkins et al.																																																																																																																													
	5	6272474	2001-08-07	Garcia																																																																																																																													
	6	6173270	2001-01-09	Cristofich et al.																																																																																																																													
	7	6321212	2001-11-20	Lange																																																																																																																													
	8	4566066	1986-01-21	Towers																																																																																																																													
	9	6505174	2003-01-07	Keiser et al.																																																																																																																													
	10	6195647	2001-02-27	Martyn et al.																																																																																																																													
	11	5101353	1992-03-31	Lupien et al.																																																																																																																													
	12	4942616	1990-07-17	Linstroth et al.																																																																																																																													
	13	5915209	1999-06-22	Lawrence																																																																																																																													
	14	5999918	1999-12-07	Williams et al.																																																																																																																													
	15	6112189	2000-08-29	Rickard et al.																																																																																																																													
Signature																																																																																																																																	

Examiner Name	Date